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ANNUAL REPORT OF THE ADMINISTRATOR FOR 1992 AND PROGRAMME-LEVEL ACTIVITIES

Environment and development

FOLLOW-UP TO THE UNITED NATIONS CONFERENCE ON ENVIRONMENT AND DEVELOPMENT: UNDP STRATEGY IN SUPPORT OF SUSTAINABLE DEVELOPMENT

Report of the Administrator

SUMMARY

Faced with the mounting recent evidence of accelerating environmental degradation and the serious obstacles it presents to poverty eradication, UNDP has intensified its efforts to integrate environmental concerns into the mainstream of its development activities. Since the Earth Summit, UNDP has also moved quickly to launch a major programme in support of Agenda 21. This programme includes, among other components, reviewing UNDP's own capacities for supporting sustainable development activities; reviewing the fifth cycle country programmes and preparing for a more detailed review to be carried out during the cycle to ensure that they fully support a sustainable development strategy; and launching a major capacity-building programme - Capacity 21 - to support recipient countries in their implementation of Agenda 21. Capacity 21 will complement existing strategies through a programme approach rather than a separate facility. Capacity 21 complements the capacity-building initiatives of such facilities as the Global Environment Facility, the Montreal Protocol, the United Nations Sudano-Sahelian Office (UNSO), the United Nations Capital Development Fund (UNCDF) and the country indicative planning figures. As such, Capacity 21 is a catalytic fund that will be used to facilitate the integration of environmental considerations into all UNDP activities and to strengthen the sustainable development aspects of the programme.

INTRODUCTION

1. UNDP has long been involved in projects that contribute to sustainable development and, in particular, sustainable human development. Since the 1950s, it has organized programmes to eradicate malaria, restore soil fertility, manage farming systems without poisoning ecosystems, restore water quality and help the Sahel region keep sand dunes from burying roads and farms. These and many other projects have helped developing countries meet their current needs without jeopardizing the ability of future generations to meet their requirements. In the last 10 years, faced with mounting evidence of accelerating environmental degradation and the major obstacles presented to poverty eradication as a consequence, UNDP has intensified its efforts to integrate environmental concerns into the mainstream of its development activities.

2. The Administrator has reported regularly to the Governing Council on these efforts, and the Governing Council has, in turn, supported and strengthened the UNDP mandate. In its decision 90/34 of 23 June 1990, the Council selected the environment and natural resources management as one of the six areas of focus in the fifth programming cycle. The Governing Council also decided that, within these six areas, capacity-building and capacity-strengthening should have priority. Its decisions have encouraged UNDP to:

(a) Develop environmental management guidelines;

(b) Ensure that all UNDP programmes support sustainable human development;

(c) Assess and strengthen its internal capacity to integrate environmental concerns into the mainstream of its work;

(d) Assess the capacity of developing countries to develop and redirect their policies and strategies in order to enable them to become more sustainable; and

(e) Develop information systems and networks in support of capacity-building for sustainable development.

3. The Governing Council, as well as the United Nations General Assembly, have also supported the UNDP decision to launch Capacity 21, the capacity-building programme initiated in response to the United Nations Conference on Environment and Development (UNCED). The present report to the Governing Council responds to its general request for regular reports on environmental activities as well as to its specific request for information on plans concerning Capacity 21.

I. THE UNDP INTEGRATED STRATEGY

4. The emerging vision of sustainable human development poses major challenges and opportunities for UNDP. To deliver services more efficiently is no longer enough. UNDP must also work with developing countries to translate the concept of sustainable human development into coherent plans of action. This task involves responses to a more complex set of problems and requires new and different skills, a more holistic approach to problem solving and increased

coordination of operational activities in the field. UNDP seeks increasingly to integrate the various thematic areas of concentration into a development vision that is sustainable in human, environmental and institutional terms. The new strategy must be people-centred - of people, by people and for people - and planet-centred - designed to preserve the integrity and ability of Earth's resources to continue to support human and other life.

5. The UNDP development vision incorporates the specific goals of Agenda 21, which include the following:

(a) The formulation and implementation of policies that achieve a sustainable balance among consumption, population and Earth's life-supporting capacity;

(b) The adoption of national strategies for sustainable development and the strengthening of national capacities to implement these strategies;

(c) The elimination of poverty;

(d) The formulation and implementation of policies and programmes that address the problems of degradation of land, air and water;

(e) The management and conservation of forest resources and the diversity of species;

(f) The development of technologies and techniques to meet human needs while ensuring proper management of natural resources;

(g) The development of accounting systems that reflect the full value of natural resources and the full cost of environmental degradation;

(h) The protection of Earth's atmosphere and its ozone layer; and

(i) Broad participation in decision-making by major groups, particularly women and non-governmental organizations (NGOs).

6. Although it seeks to support Agenda 21 within a broad collaborative framework, UNDP has its own distinctive strategy for sustainable development:

(a) Capacity-building: an operational focus on providing the policy environment, knowledge and institutions that ensure sustainability rather than concentrating on physical outputs <u>per se</u>;

(b) Human development: a process that seeks to enhance people's choices and improve their living conditions, as opposed to a "narrow conservationist" approach;

(c) Participation by all elements of society - Governments, academia, NGOs and community groups - in the process of defining and implementing programmes for sustainable human development; and

(d) Sustainability of achievements in financial, social, institutional and environmental terms.

II. IMPLICATIONS OF AGENDA 21

7. The conviction that environment and development are irrevocably linked shaped UNCED and Agenda 21, and led UNCED to give UNDP a significant role in the implementation of Agenda 21. This role is defined principally in chapters 12, 33, 37 and 38 of Agenda 21, which call on UNDP: (a) to play a leading role in coordinating United Nations system efforts in capacity-building, in mobilizing donor resources for capacity-building and in assisting recipient countries on request; (b) to strengthen coordination mechanisms; (c) to undertake programmes that address problems of desertification and drought; and (d) to promote the role and involvement of women, youth, NGOs and other major groups in the implementation of Agenda 21.

8. Of these responsibilities, the most critical task is to help to ensure that all the initiatives, funds and instruments which have followed from the UNCED process mesh at the national level to support the same global objectives. The broad mandate, decentralized approach and field office network of UNDP facilitate coordination where it counts: at the national level.

9. UNDP has been working to assess new and emerging national needs, existing institutional capacities to meet these needs and the comparative advantages of institutions. The task has been stimulated by UNCED, recent General Assembly and Economic and Social Council sessions and ongoing assessments by UNDP and other development institutions.

10. The capacity of UNDP was surveyed immediately after UNCED and improvements were recommended in the following areas:

(a) Streamlining activities at headquarters to improve efficiency and coordination, to strengthen substantive thematic support to the field and to ensure the full integration of actions to promote human development with actions relating to environment and natural resources management;

(b) Adopting personnel and training policies that will strengthen UNDP internal capacity to support sustainable human development and the implementation of Agenda 21; and

(c) Strengthening UNDP field offices so that they are better able to deliver integrated solutions in support of sustainable development.

UNDP is now in the process of implementing measures to address these three areas, as described below.

11. The Bureau for Programme Policy and Evaluation (BPPE) is responsible for overall programme development and support functions. These are now distributed among three thematic groups: human development, environment and natural resources management and public sector management, integrated as the Programme Development and Support Division. Of the three groups, the Environment and Natural Resources Group (ENR) is responsible for overall coordination of environmental matters, for recommending policies and strategies on the environment, for establishing training policies for staff and for helping to "mainstream" environmental concerns into all UNDP programmes. ENR also provides technical advisory services on sustainable agriculture, sustainable forestry,

water and waste management, environmental education and sustainable development policies and strategies. To ensure close collaboration among all UNDP environment-related initiatives, staff units dealing with the Global Environment Facility (GEF), the Montreal Protocol for the Protection of the Ozone Layer, the Sustainable Development Network (SDN) and Capacity 21 are attached to ENR. These links, along with the outposting of GEF coordinators to the regional bureaux and other units, facilitate the mainstreaming of activities funded by these programmes into regular UNDP programmes.

12. In addition to ENR, headquarters units that support environmental activities at the operational level include the regional bureaux, which are responsible for managing programme delivery by the field offices; the United Nations Sudano-Sahelian Office (UNSO), which is responsible for activities related to drought and desertification in the region where these phenomena represent a major challenge to sustainable development; the United Nations Development Fund for Women (UNIFEM), which stresses the significance of the role of women in combatting serious environmental problems and gives them an appropriate role in decision-making; the Division for Global and Interregional Programmes (DGIP), which, inter alia, manages environment-related programmes in water, energy and agriculture; and the United Nations Capital Development Fund (UNCDF), which increasingly seeks to improve the environment of local communities.

13. At the policy level, ENR is responsible for ensuring that all these programmes support a coherent strategy in which national programmes are the centrepieces, with the funds and facilities - GEF, the Montreal Protocol, UNSO, UNIFEM, SDN, UNCDF and DGIP - providing integrated support to programme goals that have been formulated by the countries themselves. UNDP regional bureaux and field offices are responsible for ensuring coherent action at the country level to implement this strategy.

14. With regard to personnel and training policies, UNDP has intensified training programmes for its staff and development partners. By April 1993, over 750 development professionals in 28 countries had been trained to utilize UNDP environmental management guidelines under a global environmental management training programme developed by ENR. This training complements regular in-house training programmes, which are being revised to ensure increased understanding of the concept of integrated sustainable human development and how it can be put into operation. ENR itself has been strengthened by the recruitment of full-time advisers and consultants - some seconded by donor Governments - in the fields of water resources, environmental law and support to Capacity 21.

15. Given the emphasis on operations at the country level, special efforts are under way to strengthen field office capabilities in these areas. In addition to the training mentioned above, the budget being presented to this session in document DP/1993/45 provides for 41 national officers dedicated exclusively to environment matters. Field offices are also being encouraged to use Development Support Services (DSS) funds to obtain technical advice in aspects of sustainable development relevant to their country situations and programmes. Databases on relevant knowledge and experience, as well as consultant rosters, are being expanded and improved. The SDN is also expected to serve as an important resource for UNDP and its national partners in countries where it is being implemented on a pilot basis. This network, which was launched in 1989,

now has pilot programmes in 11 countries and 1 regional project in the South Pacific and has initiated preparatory activities in 20 others.

16. Since UNCED, UNDP has moved quickly to launch a major programme in support of Agenda 21. This programme includes:

(a) Following up on the conclusions in national reports to UNCED, many of which were prepared with UNDP support;

(b) Identifying support that countries will require to prepare action plans for the implementation of Agenda 21;

(c) Moving ahead on the SDN, a programme to facilitate access to relevant information by all sectors of society in developing countries;

(d) Reviewing UNDP capacity for supporting sustainable development activities;

(e) Reviewing the fifth cycle country programmes and preparing for a more detailed review to be carried out during the cycle so that these programmes will more fully support a sustainable development strategy;

(f) Formulating a cooperative programme with the private sector to promote technology sharing and the development of environmentally benign technologies;

(g) Identifying new initiatives to protect the intellectual property rights of indigenous groups and promote their role in the development of ecologically sound techniques;

(h) Consulting with developing country NGOs about their capacity-building needs, planning initiatives to strengthen the roles played by institutions of civil society in promoting sustainable development and implementing and monitoring Agenda 21;

(i) Launching a major capacity-building programme - Capacity 21 - and obtaining preliminary responses from all interested parties;

(j) Intensifying efforts to develop a strategy for sustainable agriculture and supporting a global sustainable agriculture network;

(k) Supporting improvement of the urban environment through the Local Initiative Facility for the Urban Environment;

(l) Launching a national capacity-building initiative for managing national forests; and

(m) Co-sponsoring a post-UNCED regional meeting in Abuja, Nigeria, focusing on national strategies for the implementation of Agenda 21 and supporting a number of national conferences and seminars convened to formulate Agenda 21 programmes on a national basis through a participatory process.

17. In following up on Agenda 21 and, in particular, chapter 12, UNSO has supported national and subregional (Permanent Inter-State Committee on Drought

Control in the Sahel (CILSS) and Inter-Governmental Authority on Drought and Development (IGADD)) meetings focusing on strategies to follow up Agenda 21. UNSO is also developing a programme on drought preparedness and mitigation emphasizing capacity-building at the local and subnational levels and is assisting member States covered under its mandate in the negotiations process for an international convention on desertification.

18. GEF. UNDP continues to be actively involved in the management of the GEF in close collaboration with its GEF partner agencies, the United Nations Environment Programme (UNEP) and the World Bank. UNDP responsibilities within the GEF cover: (a) technical cooperation and capacity building; (b) pre-investment activities; (c) the NGO Small Grants Programme; and (d) facilitating in-country coordination, dissemination of information and prioritization of GEF activities.

19. During the GEF three-year pilot phase, 47 national, regional, interregional and global UNDP projects have been approved. UNDP GEF funding covering the first through fourth phases totals $268 million. An additional eight projects have been submitted to the participants for review and approval at their May 1993 meeting at Beijing, China. These projects emphasize the UNDP developmental approach and expertise by focusing particularly on capacity-building, institutional strengthening and other related technical cooperation activities. The distribution of UNDP GEF funding by thematic area is as follows: reducing global warming (40 per cent), preserving biological diversity (42 per cent), protecting international waters (17 per cent) and controlling ozone layer depletion (1 per cent). The NGO Small Grants Programme supports community-based activities by grass-roots organizations and NGOs in developing countries with grants up to $50,000, and $7 million has been committed to this UNDP-administered programme.

20. Montreal Protocol. UNDP is cooperating closely with its three partner agencies (UNEP, United Nations Industrial Development Organization (UNIDO) and the World Bank) in programme implementation under the Multilateral Fund of the Montreal Protocol. UNDP assists developing countries in the planning, preparation and implementation of country programmes, projects and sectoral activities to replace and phase out chlorofluorocarbons (CFCs), halons and other ozone-depleting substances through on-site and in-country technical training and external study tours, feasibility studies, pre-investment studies, demonstration projects and, on country request, investment projects. UNDP follows a sector-based approach covering aerosols, refrigeration and air conditioning, mobile air conditioning, foams, solvents and halons used in fire-extinguishing. Its key feature is a cost-effective technology dissemination and replication strategy. The programme is managed in ENR/BPPE.

21. The Executive Committee of the Multilateral Fund has, to date, approved around $14 million for UNDP activities in 25 countries, which include: (a) assistance in the preparation of 12 country programmes; (b) national staff training and ozone layer institutional strengthening; (c) utilizing CFC substitutes in aerosols and solvents applications; (d) joint implementation with UNEP of regional demonstration/training programmes in refrigeration servicing and CFC recovery/recycling in industrial, commercial and domestic refrigeration; (e) implementation of regional demonstration/training programmes on use of reduced CFC foaming techniques and in halons reduction, recycling and

substitution; (f) design and implementation of several foam sector investment projects in Egypt; (g) implementation of global training, demonstration and project preparation activities in the halons and mobile air conditioning sectors; and (h) project preparation assistance in several countries.

III. CAPACITY 21

Background

22. The Administrator reported to the Governing Council special session in February 1993 on the decision to launch Capacity 21. This followed an informal consultation with Council members in September 1992. The decision to launch Capacity 21 has been endorsed by both the Governing Council (decision 93/2 of 19 February 1993) and the United Nations General Assembly (resolution 47/194 of 22 December 1992). The present report provides more detailed plans for the full implementation of Capacity 21, including recommendations on how to distribute its resources.

Preparatory activities

23. UNDP preparatory activities in the last few months have included the following:

(a) Consultations with donor countries: UNDP has consulted with donor countries since August 1992 through their Permanent Missions in New York, visits to their capitals and informal meetings. These consultations have been of great value as UNDP develops the scope and focus of this programme;

(b) Consultations with recipient countries: These have taken place mainly at the national level through the offices of UNDP resident representatives. They began with a survey of global capacity-building needs prior to UNCED and have continued since the conference, giving UNDP good insight into the nature and level of demand for additional technical cooperation for capacity-building;

(c) Consultations with United Nations system agencies: Several consultations have taken place to explore how best to associate the expertise and experience of United Nations system agencies with Capacity 21. The latest meeting was held at Paris, hosted by the United Nations Educational, Scientific and Cultural Organization (UNESCO). The next will be held at Rome in early fall hosted by the Food and Agriculture Organization of the United Nations (FAO). UNDP has also reported extensively on Capacity 21 to the Administrative Committee on Coordination and its Inter-agency Committee for Sustainable Development, and the programme has received their strong endorsement. As a result of these consultations, various agencies are already working closely with UNDP to prepare monographs on capacity-building in their specific areas of expertise and are determining how they can most effectively contribute to Capacity 21. Bilateral consultations are also being held with UNEP because of its special role and experience in the area of environment;

(d) Establishment of management mechanisms: A subcommittee of the UNDP internal Action Committee - the Capacity 21 Management Committee - has been established to facilitate programme development and to screen project proposals;

(e) Consultations with other partners: Consultations have also taken place with the private sector - through the Business Council for Sustainable Development - concerning a programme in the area of technology capacity. There have also been consultations with NGOs and academic institutions to discuss their possible roles both in implementing and monitoring Agenda 21 and in capacity-building, including areas concerning strategy and policy formulation, information sharing and technology and scientific research;

(f) Programme development: Consultations with various partners have provided a basis for planning the role of Capacity 21 and for identifying programmes that might eventually be funded through Capacity 21 or alternative channels. A number of countries are already preparing proposals for such support;

(g) Mobilization of resources: To date, several Governments have pledged a total of $18.6 million in contributions to Capacity 21: Japan ($10 million); France (7 million French francs = $1.3 million at current exchange rates); Germany (10 million deutsche mark = $6.3 million at current exchange rates); Austria ($1 million); Canada has indicated that it will pledge $2 million and the United States of America is putting together a package of financial, human and other resources. Other donor countries, including the Netherlands and the Nordic countries, have also expressed interest in Capacity 21.

The need for Capacity 21

24. One of the most important conclusions from UNCED was that new efforts must be made to build national capacities in support of sustainable development and that new and additional resources will be required for this purpose. Agenda 21 also calls on countries to "retool" their decision-making processes and to develop the human resources and institutions that are needed to undertake this task. This implies that there is a need, inter alia, to:

(a) Heighten the awareness among decision makers of the need to incorporate sustainable development factors into policies, strategies, plans and programmes and to identify the potential benefits of doing so;

(b) Establish locally appropriate processes and mechanisms for consultation, coordination and management, both among relevant government units and between government and relevant non-governmental entities;

(c) Identify and reinforce potential constituencies for environmentally sustainable actions;

(d) Facilitate access to needed technical knowledge, global experience and advice, including studies, information and analytic tools for identifying problems and determining alternative courses of action;

(e) Expand and strengthen national technical institutions and other local sources for such knowledge and advice;

(f) Analyse social and political factors, including the potential implications and impacts of capacity-building initiatives on various actors;

(g) Establish modalities for building on, and mediating among, different interests so that solutions can be developed which will be implementable and sustainable;

(h) Establish and strengthen appropriate local mechanisms for facilitating broad participation by major groups in the national dialogue and by community groups in decision-making at the local level; and

(i) Determine the capacity-building needs of developing country NGOs, NGO networks and community groups seeking to strengthen their abilities to contribute to the implementation and monitoring of Agenda 21.

Complementarities of the programme

25. Capacity 21 seeks to complement existing programmes through a programme approach and is not a separate facility. Because of its catalytic role and the fact that its programmes are developed at the country level, Capacity 21 complements the capacity-building initiatives of such facilities as GEF, the Montreal Protocol, UNSO, UNCDF and the country indicative planning figure (IPF). As such, Capacity 21 is a catalytic fund which will be used to facilitate integrating environmental considerations in all programmes and to strengthen the sustainable development aspects of the programme.

Building on UNDP relative strengths

26. Capacity 21 will build on UNDP relative strengths, including:

(a) Long-term experience in technical cooperation and capacity-building;

(b) A multisectoral approach to development;

(c) Strong in-country presence;

(d) Outreach to a broad universe of partners, including NGOs, women's and youth groups and other societal groups and ability to bring complementary inputs into the process;

(e) Expertise in process management and the delivery of technical cooperation through cost-effective, innovative and flexible methods;

(f) Experience in facilitating information dissemination, exchanges and networking; and

(g) Ability to act as a catalyst, coordinator, facilitator, mobilizer of resources and neutral broker.

Programme content

27. Translating Agenda 21 into action requires capabilities at the national level in the areas cited in paragraph 24. These include the capacity to:

(a) Design strategies that promote sustainable development;

(b) Draw up an appropriate policy, legal, regulatory and enforcement framework;

(c) Draw on local information sources and develop and adapt appropriate technology for promoting sustainable development;

(d) Develop mechanisms for popular participation in deciding and implementing sustainable human development issues; and

(e) Develop the SDN as a cross-cutting tool to help unify and support information access and exchange within and between developing countries.

28. Capacity 21 will help build these country-level capacities by cooperating in:

(a) Reviewing the current status of relevant national plans and strategies and of existing capacities to develop and implement these plans and strategies;

(b) Identifying specific needs among government agencies and institutions of civil society for strengthening their requisite knowledge and experience;

(c) Determining the availability of resources, including external assistance;

(d) Establishing priorities;

(e) Identifying potential entry points and linkages;

(f) Establishing suitable in-country mechanisms for action and coordination;

(g) Initiating appropriate processes;

(h) Helping to formulate specific capacity-building programmes and activities;

(i) Mobilizing domestic and international resources for the implementation of these programmes and activities; and

(j) Undertaking pilot capacity-building programmes in priority areas where UNDP has special strengths.

Countries will need assistance from Capacity 21 at different times and in different areas. Whatever the entry point, the activity will always seek initially to build on and strengthen existing capacities. The salient points of Capacity 21 are presented in succinct form in the annex.

29. The initial phase of Capacity 21. In the first 18 months of the programme, Capacity 21 will operate in a limited number of countries. It is expected that programme implementation will begin in 10 countries in 1993 and in a further 15 to 20 countries in 1994. In addition, more limited, preparatory-type activities will be developed and implemented in 30 to 40 countries during this period. These will serve as the basis for full programmes in the 1995-1996 period,

taking into account experience gained in the initial phase. The number of countries to be added will depend on achievements and resources. The Administrator proposes to report annually to the Governing Council on Capacity 21 over the course of the cycle, the duration initially suggested for Capacity 21.

30. Programme criteria. The following are considered the minimum conditions for a successful Capacity 21 programme:

(a) Demonstrated strong commitment to Agenda 21 and to capacity-building;

(b) The presence of a policy framework (or commitment on the part of the Government to create such a framework) and an enabling environment to ensure that the desired impacts can be achieved and sustained;

(c) A clear perception of how Capacity 21 will be linked to relevant activities funded by such other means as IPF, the International Development Association (IDA), GEF and the Montreal Protocol;

(d) Assurance that programme beneficiaries and stakeholders will be involved at appropriate stages of programme development and implementation; and

(e) Circumstances which allow UNDP to play a coordinating and catalytic role.

31. Project types. Capacity 21 will develop model approaches, tools and instruments for building capacity under varying conditions. Under Capacity 21, UNDP will strive to support programmes that are representative in terms of geographic region, country size, type of ecosystem and programme content.

32. Resource distribution. In decision 93/2 of 19 February 1993, the Governing Council requested the Administrator to present proposals for the distribution of resources under Capacity 21. The Administrator has examined several options, including the IPF formula, the Special Programme Resources (SPR) formula and various formulas that would both allow the development of model cases under varying conditions and also respond to General Assembly and Governing Council calls for giving special attention to least developed countries (LDCs). On this basis, the Administrator recommends that the resources be allocated in accordance with the provisions for the thematic programmes of SPR. These provisions call for the Administrator to ensure that not more than 50 per cent is allocated to any one region. In addition, the Administrator also proposes that at least 40 per cent of the resources go to LDCs.

33. Management structure. UNDP will manage Capacity 21 through existing structures. As indicated in paragraph 18 above, a management committee composed of representatives from the regional bureaux, UNIFEM and appropriate units of BPPE has been established to screen proposals submitted for funding, suggest revisions as needed and approve proposals. The Assistant Administrator and Director of BPPE has overall responsibility for Capacity 21 and for preparing regular reports to the Governing Council. UNDP field offices are responsible for assisting Governments with programme development and implementation.

34. Project implementation. As with all its activities, UNDP is not the executing agent of Capacity 21 but, rather, a facilitator, mobilizer and coordinator of activities. In most cases, UNDP will rely on the expertise of others, including United Nations system agencies, bilateral agencies, NGOs, private-sector institutions and research and academic institutions. UNDP policy in regard to national execution applies to this programme as it does to other UNDP activities.

35. Framework for programme collaboration. To tap the skills and expertise of many possible partners, UNDP is already using established mechanisms to facilitate ongoing dialogue, information sharing and collaboration among public and private agencies on the subject of capacity-building. Among potential partners, United Nations agencies and UNEP are expected to play a special role. In developing and disseminating information, priority will be given to information about tools and methodologies that can be used and/or adapted in other countries.

36. Programme evaluation. Capacity 21 will be subject to normal UNDP review and evaluation procedures. UNDP will also undertake an overall evaluation of the programme in the first quarter of 1995 to assess experiences to date, the impacts of the programme, the adequacy of strategies adopted for the programme and potential long-term benefits. Capacity 21 will also be subject to evaluation at the end of the cycle to determine whether the programme will be continued.

CAPACITY 21

Capacity 21 will build capacity to manage the environment and natural resources in the context of economic and social development. The assistance provided through Capacity 21 will be catalytic and short-term but with long-term impact and benefits and will create capacity that can be realistically absorbed and maintained. Capacity includes institutions, legal framework, enforcement mechanisms, technical skills and basic knowledge of the individual regarding the natural environment. Countries will need assistance from Capacity 21 at different phases. Whatever the entry point of the assistance, the focus of the activity will be on strengthening existing capacity as far as possible and building only where no capacity exists. Activities under this programme would serve to strengthen the decision-making process at all levels of society through better access to information, greater awareness, greater knowledge, and greater participation.

A FRAMEWORK FOR NATIONAL PROGRAMMES

Capacity 21 will begin implementation in the initial phase of the programme in a number of countries selected to provide examples of programmes with different entry points and types of activities.

At the national level, Capacity 21 will:

- Stimulate a participatory process involving all sectors of society;
- Address specific identified needs for capacity building;
- Help formulate and implement capacity-building activities;
- Mobilize domestic resources (institutions, know-how, NGOs), international resources (donor programmes, United Nations programmes).

At the regional level Capacity 21 will:

- Promote subregional, regional and inter-regional cooperation where this serves to enhance national capacity;
- Enhance the capacity of institutions that can serve a region in training, research, or policy advice, where this is more cost-effective than building capacity nationally.

UNDP will support the Capacity 21 programmes by:

- Collecting information on current methodologies, tools, instruments, experience of different actors, including the United Nations specialized agencies, donors, the business and academic communities, NGOs and others;
- Facilitating exchange of informaton between actors;
- Identifying partners best suited to implement activities in specific areas.

NATIONAL LEVEL PROGRAMMES

1. Building institutional capacity

One entry point for Capacity 21 programmes is assisting in building institutional capacity. A programme following this approach could provide a country with technical cooperation to develop the necessary human resources and an appropriate institutional framework for sustainable development. For example, national policy might establish that the responsibility for formulating sustainable development policies should be decentralized. The legal framework to support the integration of environment and development planning is in place. However, there is a need to strengthen the human and institutional capacities to put this framework into operation. The Capacity 21 programme will assist in establishing a decentralized system of administration and will support a series of training workshops to build up the capabilities of staff of these units to integrate environment and development at the regional level.

2. Strengthening human resources

In many cases, an adequate institutional framework exists but it may lack necessary tools such as policies, regulations or legal framework for effective implementation. In these cases, the Capacity 21 programme will focus on building capacity to develop and implement such tools.

A Capacity 21 programme addressing these concerns could be designed to build the capacity of civil servants and decision-makers to understand the major issues of environment and development in their particular context. The programme could focus on mid-level management personnel at the local, regional and national levels. It should also seek to build the capacity of personnel in the private sector and in NGOs. The activities would consist of interrelated training modules covering the spectrum of sustainable development. The modules will be developed in a participatory process by government, academic institutions and experts from the private sector.

3. Enhancing public participation

An important aspect of effective implementation is the understanding and agreement of all those particularly affected and the population at large. Enhancing public participation may therefore be an important part of a Capacity 21 programme.

An example could be working with indigenous groups in strengthening their capacity to manage external pressures, enhance their development potential and manage their environment and natural resources. This would require developing support measures such as legal and financial instruments at both local and central levels, and developing technical and human capacity at the local level in particular.

4. Green development strategies and policies

Most countries have elaborated development plans as a set of overall goals or as economic development plans, many of which do not take account of environment and natural resource constraints and potential. Thus, a "greening" of development plans is necessary, effectively turning them into sustainable development plans. The Capacity 21 contribution should be not to develop a sustainable development strategy, but to support building the capacity needed to give new direction to existing development plans.

The programme could provide assistance to national experts to produce analytical studies in priority areas of sustainable development; develop a set of environment and sustainable development policies for the development plan (e.g. a five-year plan), facilitate a high-level policy debate and through a participatory process develop a consensus for the programme nationwide and build capacity to ensure implementation.

5. Technology: Development, adaptation and application

We know that many technologies already developed can be positive for the environment and for the use of natural resources at the same time as they enhance development potential. The challenge lies in adapting and applying this technology within a local context. Capacity 21 could assist in building up existing institutions to address these aspects of the technology question. This could apply to technology in a particular sector or more generally; such institutions might serve a function in the national context as well as in a regional context. They should be key actors in identifying appropriate technologies and in negotiating their terms of transfer.

REGIONAL AND INTERREGIONAL LEVEL PROGRAMMES

In many cases, capacity of a specialized nature is required, but its development may not be cost-effective at the national level. A group of small countries may need capacity in the area of environmental legislation. Capacity 21 could assist in determining needs for training in environmental law, assist in identifying an institution which could undertake training, assist in developing a curriculum in environmental law, and facilitate training of the first set of specialists in environmental law. In this case, it would be more cost-effective if an institution in one country would undertake the training on behalf of the region with support from all governments. Capacity 21 can also continue the inter-regional information networking activities under the Sustainable Development Network.

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The human immunodeficiency virus, the acquired immune deficiency syndrome and development

Report of the Administrator

SUMMARY

The present report highlights and comments on the analysis and recommendations of an external and independent assessment, undertaken by the UNDP Central Evaluation Office (CEO), of country-level programme activities to address the human immunodeficiency virus (HIV) epidemic. The assessment was requested by the Governing Council at its thirty-ninth session in decision 92/14 of 26 May 1992. The report also discusses other relevant assessments and reviews of policies and programmes of the UNDP HIV and Development Programme, as well as responsibilities, mandates and coordination within the United Nations system.

The CEO report, UNDP Support for the Global Programme on AIDS: The Country Perspective (An Assessment of the United Nations Resident Coordinator/UNDP Resident Representative), is available upon request.

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I. INTRODUCTION

1. The human immunodeficiency virus (HIV) epidemic continues to spread, virtually unabated. Governments and people are beginning to be faced by something beyond their experience, beyond their comprehension, which is as yet on few personal, communal or national agendas.

2. It is a baffling phenomenon for the spread of HIV is hidden and relentless, with long-term effects. Unless effective and sustainable action is taken, much of the world will be unrecognizable in the future. Those alive then will be deeply traumatized by loss and dramatic change - they will also be held accountable.

3. Figures such as the following have become common: one in every 250 adults is already infected with the virus; 13 million persons were infected during 1992 alone; more adults in certain African countries die of the acquired immune deficiency syndrome (AIDS) than of malaria; and one out of two teenage girls in seriously affected communities are infected with HIV. The first decade of the epidemic on record has seen a gap emerge between the capacity of developed and developing countries to build up the resources required to slow the spread of HIV and respond to its consequences.

4. Yet even among those who understand the dimensions of the epidemic, there remains a debate about what should be done to safeguard the future, to allow communities to survive and economies to continue to function, to prevent the spread of tuberculosis and to avoid the social disaster of a multitude of children without parents.

5. It is imperative that this debate be continued and expanded into all forums if effective and sustainable approaches to behavioural and attitudinal change are to be found. Care and support must be provided for those infected with HIV, as well as for their caretakers and their survivors.

6. The global objectives are, first, to ensure that these lessons and insights are accessible to those responsible for or committed to responding to the epidemic and, second, that the agents of change - leaders and activists working within the epidemic - be supported.

7. UNDP has made a modest but important contribution towards achieving these two critical global objectives. These efforts have been reviewed and evaluated over the last year.

8. The primary focus of this report is the analysis and recommendations of an external and independent assessment, undertaken by the Central Evaluation Office (CEO), of UNDP country-level programme activities that address the HIV epidemic. The assessment (referred to hereafter as the CEO report) was requested by the Governing Council at its thirty-ninth session in decision 92/14 of 26 May 1992. The present report also discusses other relevant assessments and reviews of the UNDP policies and programmes regarding HIV and development, as well as responsibilities, mandates and coordination within the United Nations system.

II. HIV AS A DEVELOPMENT ISSUE

9. The CEO report stressed the following points:

(a) "The HIV/AIDS ... problem is a major global development problem with potentially devastating consequences for developing countries;

(b) "Government perceptions of the HIV/AIDS problem are particularly important for UNDP and United Nations agencies. For, in large measure, country programmes are viewed as Government-owned and, thus, any new initiatives for indicative planning figure (IPF) funding must reflect the Government's priorities and interests;

(c) "Government and country responses to HIV/AIDS reflect a resistance to recognizing openly the pandemic as a development issue - in its causes, methods of prevention and implications - particularly during its early stages. They reflect a lack of appreciation of the existing and potential pervasiveness of HIV/AIDS. Governments are preoccupied with numerous other issues that clamour for attention such as economic and financial crises and reforms, drought, civil unrest, new democratic governments and persistent poverty."

10. UNDP has a leadership role in assisting Governments and others to increase their understanding of the development dimensions of the epidemic, the broader social, political and economic causes of its spread and the potential impact of this spread on all aspects of human development.

11. The UNDP analysis of the epidemic and its consequences shows clearly that every facet of human, social and economic life can be affected and that national programmes must have a synergistic focus between individuals, families, communities and Governments, an approach based on participation, discussion and support, and one which responds to the complex social and economic factors influencing people's lives. It rejects both the focus on individuals to the exclusion of their communities and the focus on HIV to the exclusion of, for example, poverty or gender.

12. This analysis is significantly different from one based on sectors and institutions. A similar analysis can be found in the CEO report, which argues that a compartmentalized, sector-based approach will not slow the spread of the epidemic.

13. A country's development choices, along with its cultural, religious and social mores, will influence the speed and pattern of the spread of HIV. In turn, where the virus spreads will determine how the epidemic will affect national development, weaken the national capacity to respond and foster conditions that facilitate the spread of the infection. Those countries that have or are developing participative, community-based institutions, strong social cohesion and adequate redistributive policies will find the epidemic much easier to overcome.

14. UNDP is expanding its capacity to assist countries to reconceptualize the epidemic as a development issue and to strengthen their understanding of its potential impact, through advocacy, discussion papers, seminars and training workshops. This reconceptualization is an essential precondition to the

development of multisectoral programme approaches to the epidemic. This work needs to be intensified, particularly in those countries that have yet to appreciate the dimensions and consequences of the HIV epidemic. UNDP will give special attention to those countries.

III. A MULTI-ACTOR, MULTIDIMENSIONAL APPROACH

15. As noted in the CEO report:

(a) "The term 'multisectoral' tends to obscure the major importance of private organizational roles in districts, villages and urban community groups [of local government], voluntary service organizations and businesses. These organizations are the most affected; but they are particularly well placed, given resources and guidance, for addressing both prevention, impact and consequences;

(b) "Work on promoting behavioural change has brought out the need for multidimensional approaches;

(c) "Non-governmental, community and business organizations ... are forcing a more forthcoming government response, while nervous about government controls."

The World Health Organization (WHO)/Global Programme on AIDS (GPA) further noted that "it should be recognized that people affected by the epidemic possess the key elements of response and should be involved at all levels".

16. There is an increasingly widespread acknowledgement of the need for a multisectoral response to the epidemic; but, as the CEO assessment points out, this term is drawn from a narrowly focused analysis of the nature of the required response based on the perspectives of various institutions. This analysis sees the initial response as beginning in a particular sector and moving on to other sectors.

17. In fact, throughout the world, the response to the epidemic has started with those most directly affected, wherever they work or live. What was initially a response to becoming infected is, more and more, an attempt to keep families, colleagues and communities uninfected and functioning.

18. This response, arising within groups and communities, now encompasses all dimensions of the epidemic. Sustaining, strengthening and expanding this response is the appropriate focus of a programme approach to the epidemic. Four partnerships or social contracts will need to be created to make this possible, partnerships between men and women; between those affected by the epidemic and those not yet directly affected; between communities and Governments; and between nations whose societies and economies are being undermined by the epidemic and those not so adversely affected. The address by the Director of the HIV and Development Programme to the High-level segment on coordination of the Economic and Social Council, 22 July 1992, expands on these partnerships.

19. Such a programme approach will, by its nature, involve those most affected by the epidemic. It will be capable of taking into account the complexity of

behavioural change and of support to those affected, locating the process of change within the community itself, while strengthening the institutional and sectoral infrastructure required for programme and policy development. The Memorandum of Understanding for the Implementation of the WHO/UNDP Alliance to Combat HIV/AIDS, signed in July 1992, assigns WHO and UNDP joint responsibility for the development of a programme approach, at the national and global level.

20. The UNDP HIV and Development Programme has placed importance on the creation and support of networks of key actors and key disciplines, in particular persons directly affected, the community-based organizations working with them, concerned religious leaders, lawyers and human rights experts and economists. Among those concerned are UNDP staff. It has been the experience of UNDP that the early implementation of the United Nations HIV/AIDS Personnel Policy has begun to create a supportive, non-discriminatory environment in which staff and their families are able to seek assistance. This, in turn, has increased awareness of the policy and development issues raised by the epidemic.

21. The CEO report and the report of the evaluation mission on development implications of HIV/AIDS in Asia and the Pacific (RAS/90/021) show that UNDP field offices are already playing an important role in mobilizing and supporting many of the key actors in the response to the epidemic: community-based organizations, non-governmental organizations (NGOs), the private sector, political and religious leaders and a wide range of government ministries. UNDP Resident Representatives will be asked to increase their efforts to draw other United Nations agencies and institutions and other donors into this important effort.

IV. UNDP PROGRAMME INITIATIVES

22. As regards the role of UNDP, the CEO report found:

(a) "What appears to be a lack of guidance from headquarters on how best to address the HIV/AIDs pandemic in UNDP programming. ... As the pandemic grows, clearer guidance will be required;

(b) "The important distinction in the [WHO and other] guidance documents lies in (i) addressing the AIDS threat (discovery, prevention and care) and (ii) addressing the consequences for a country's economic and social development. While the implications for United Nations roles and coordination functions are not spelled out, there appears to be, among some, an assumption that the latter is UNDP "territory" and the former that of WHO/GPA. In fact, they, and other United Nations agencies, are engaged in both dimensions;

(c) "The multisectoral dimensions of the HIV/AIDS programmes are particularly evident in interventions related to prevention through behavioural change, support for impacted households and communities and countermeasures for economic and social consequences. These interventions cannot be compartmentalized as they are interactive with effective prevention and behavioural change requiring, for example, household and community support and action on social and economic consequences;

(d) "UNDP programming for HIV/AIDS activities will be growing rapidly over the coming months and years."

23. If sustaining, strengthening and expanding the community response to the epidemic is the appropriate central focus of a programme approach, then radical changes are required in the orientation of national HIV/AIDS programmes and in the nature of the technical support available to them.

24. Within communities, prevention, care and consequences are intimately linked: community concern for the plight of a neighbour creates concern for one's own vulnerability and that of one's family. The emphasis shifts from surveillance to support for change, from information to discussion, from treatment to care and support and from monitoring an epidemic to surviving within it.

25. The lessons of the first decade indicate that approaches that separate prevention and care, that place the central focus on institutional development, that are sector-specific and that transmit educational messages rather than foster discussion have not significantly slowed the epidemic or minimized its adverse consequences.

26. Developing an effective and sustainable response to the epidemic in all its dimensions in each country or region will be a difficult task. There are few, if any, precedents, even in the health sector. The lessons indicate that what is required is a process of community and national mobilization within a supportive legal, human rights and policy framework. This approach invalidates the dichotomy between prevention and treatment on the one hand and social and economic consequences on the other. The expertise it requires includes development programming, community development, counselling, law, social welfare and planning. It will force a reconceptualization of traditional approaches to health, economics and sector-based development strategies.

27. It is not surprising, therefore, that UNDP HIV and Development Programme missions undertaken to date have been buffeted by differing conceptions of roles and responsibilities within the United Nations system and tensions between past approaches to the epidemic and more community-based approaches. The missions have been working with field offices in which the programming implications of General Assembly resolutions 44/211 and 47/199 are still unclear, which have limited understanding of the epidemic as a development issue and whose internal procedures require the initiation of processes to transform national capacity and understanding into project and programme documents. Nevertheless, a dialogue has begun with UNDP field offices and between UNDP field offices and national HIV/AIDS programme managers which is resulting increasingly in the incorporation of this new approach into national programmes.

28. A growing number of countries are turning to UNDP for advice and technical cooperation, particularly as they acknowledge the central role of communities and as they become concerned about the impact of the epidemic on society and the economy. UNDP has given priority to the provision of policy and programme support in the areas of attitudinal and behavioural change, the care and support of those affected and the maintenance of the infrastructure for community and national development. UNDP will accelerate its efforts to assist countries to strengthen their capacity to undertake assessments of the human, social and

economic impact of HIV infection and death and to determine necessary follow-up actions.

29. The rapid spread of the epidemic and the need to respond quickly makes traditional, longer-term approaches to programme development untenable. This imposes an imperative for immediate action. Special Programme Resources (SPR) are being used to develop new approaches to timely programme development in the fight against HIV. The primary focus is to draw out and disseminate what can be learned from ongoing activities at community, national and intercountry levels. These lessons will then be made available to field offices, programming missions, Governments and international bodies.

30. UNDP now has a significant body of knowledge, drawn from research, field assessments and key individuals, about effective approaches to the epidemic. It has become a key transfer point for the dissemination of such knowledge. This information also forms the basis of its operational guidelines and programme approach. The challenge facing UNDP and other institutions is to find ways to put into practice quickly these lessons and insights.

V. UNDP CAPACITY TO RESPOND TO THE EPIDEMIC

31. The CEO report noted that:

(a) "UNDP does not now have in the field the staff capacities to plan and administer an expanded programme for HIV/AIDS;

(b) "The priority assigned to the HIV/AIDS pandemic by the United Nations system and UNDP and the guidance on the role of the Resident Coordinators/Resident Representatives in addressing it have been uneven and unclear across the regions. The four regions of UNDP have interpreted available guidance differently and with different degrees of concern and priority. This has, in turn, affected how the Coordinators/Representatives have acted;

(c) "Awareness promotion, and the expectations it generates, is both relatively easy and dangerous if the more difficult task of implementation does not follow with rapid, effective responses."

32. It is important that UNDP strengths and resources be brought to bear on the epidemic. This includes its extensive network of field offices; its accumulated experience in all sectors of development; its neutrality; its coordination responsibilities; its extensive access to Governments, the private sector and NGOs; and its detailed knowledge of the political, social and economic history and institutions of a country.

33. Within these general areas of comparative expertise, UNDP carries out multiple functions with respect to the HIV epidemic. These functions create awareness and advocacy of the epidemic as a development issue and support effective and sustainable programme approaches, the provision of technical and financial assistance to national and intercountry efforts and the strengthening of national capacity for the coordination of external support and for resource mobilization. These are outlined in "The Policy Framework for the Response of UNDP to HIV/AIDS" (DP/91/57) and are expanded upon in a UNDP paper on the

coordination of HIV-related activities prepared for the High-level segment on coordination of the Economic and Social Council, July 1992. They are carried out within the policy framework of the WHO Global Strategy for the Prevention and Control of AIDS.

34. UNDP does not have an adequate capacity to assist countries and organizations to respond to the HIV epidemic in an appropriate and timely manner. The expertise does not exist as yet, as the epidemic is a new and complex phenomenon. Therefore, training UNDP staff, nationals and consultants has been an important focus of the interregional project to strengthen UNDP capacity to respond to the epidemic (INT/90/024).

35. A country-level training workshop on HIV and development has been developed and tested. It is designed to train a group of people at the national level, including UNDP and other United Nations staff, to view the epidemic as a development phenomenon and to understand its policy and programme requirements. Issues papers, reference materials and a bibliographic service are now available. Guidance has been provided to all field offices on coordination and personnel issues. Programming workshops have been held with the Resident Representatives in the Asia and Pacific and Latin America and Caribbean regions.

36. The WHO/UNDP Memorandum of Understanding marks an important transition for UNDP, from a responsive role in HIV programme financing to active involvement in the development, implementation and evaluation of a multidimensional programme. The UNDP policy framework (DP/1991/57) anticipated this transition and remains an adequate framework for UNDP work in this area. As administrative and leadership arrangements and institutional roles within the United Nations system evolve further, the framework will be reviewed and refined.

37. It is clear, however, that much more than awareness and understanding of HIV programme approaches and priorities is required. Further programme support is needed throughout UNDP, particularly in its field offices, in order to integrate efforts to halt the epidemic into all aspects of development assistance and to provide specific support to the creation of multidimensional national HIV/AIDS programmes. UNDP will continue to expand its efforts to recruit and train staff, particularly in its field offices, to develop a pool of trained consultants and to provide policy and programme guidance.

38. UNDP will be devising an approach for the rapid provision of technical cooperation which can meet an expanding demand, in all regions, and which can draw on and disseminate the lessons and insights learned in the process. Such an approach will be labour-intensive and will require human resources development. At the same time, the ability of field offices, other UNDP units and specialized agencies to work with, learn from and support such assistance must be established.

39. This approach will ensure that the ability of UNDP to work collaboratively with other agencies in the United Nations system, WHO in particular, and with other donors will be strengthened.

VI. COORDINATION

40. The CEO report concluded that:

(a) "The HIV/AIDS pandemic, in its requirements for coordination, presents a relatively unique situation. On the one hand, it is in many ways an emergency like famines or natural disasters requiring immediate assistance. ... On the other hand ... HIV/AIDS is a long-term development issue that can seriously complicate all aspects of a country's development efforts. ... In time, HIV/AIDS requires the involvement of people and organizations in all sectors - public and private - a task of major proportion comparable to the management of development generally;

(b) "The coordination task is also demanding because other donors and United Nations agencies are not easily guided. They are competitive and have special interests, requirements, procedures and governmental relationships. They are, however, willing to cooperate where coordination leadership is competent and facilitative and policies, strategies and objectives are clear. This situation places a distinct demand on government coordination units and should, in turn, on the United Nations Resident Coordinators/UNDP Resident Representatives."

41. Coordination is a national function and responsibility. The United Nations system in general and UNDP in particular have an important supportive and national capacity-building role to play.

42. Both the CEO missions and the WHO/GPA missions to assess HIV/AIDS coordination at the country level found many examples of positive and constructive efforts to coordinate activities, often under difficult circumstances. It is clear that many Resident Representatives/Resident Coordinators are taking an increasingly active role in assisting Governments in these efforts, but further leadership is urgently required.

43. In a number of countries, Gabon, Ghana and Uganda, for example, the Government has invited UNDP to take the lead in the coordination of all external support. WHO has the main responsibility to advise on technical matters within its area of expertise. In Botswana and Thailand, the Government has taken direct responsibility for donor coordination. In other countries, UNDP and WHO provide collaborative leadership.

44. At the same time, a lack of coordination has been identified as a critical constraint to national HIV/AIDS programme management. A number of contributing factors were identified: a lack of participatory and collaborative approaches among many external support agencies; the superficiality of some coordination meetings; alienation from or criticism of the medium-term plan preparation and approach; distrust between Governments and NGOs; and a lack of agreement on leadership and membership of coordination arrangements.

45. Both reports conclude that effective coordination depends on leadership, a shared vision and participatory and inclusive processes, rather than on predetermined or imposed mechanisms. The national coordination structure must have the status and the mandate to mobilize all participants and should serve as

a genuine forum for discussion, negotiation and support of strategies and programme directions.

46. The CEO report concludes that as the HIV epidemic grows and donor involvement increases, coordination will become more critical and the UNDP Resident Representative and the United Nations system should be in a position to take a supportive leadership role. All external support agencies, including bilateral donors, and all national actors should be a part of the process of developing and coordinating a multidimensional national programme approach.

47. In 1992, there was increasing cooperation among the agencies and institutions in the United Nations system. The various coordination mechanisms within the United Nations were streamlined and the Inter-Agency Advisory Group on AIDS was revitalized and accepted as the central coordination mechanism.

48. UNDP and WHO have held regular meetings to brief one another on programmes, to discuss and assess emerging or faltering approaches and to ensure complementarity of assistance. The WHO/UNDP Memorandum of Understanding, signed in July 1992, acknowledges and institutionalizes the joint role of UNDP and WHO in global and national multisectoral policy development and programming. The Memorandum was sent to all field staff of both organizations and distributed widely at headquarters. An important task for both organizations is to establish mechanisms, procedures and practices to ensure its implementation. UNDP will work more actively to strengthen national capacity to develop comprehensive, community-oriented national programmes and to coordinate their support.

VII. THE ROLE OF THE UNITED NATIONS

49. The CEO report examined the role of the United Nations and concluded:

(a) "The United Nations system of agencies in the developing countries is not in a position to provide the leadership and support that the countries will require to address the HIV/AIDS pandemic;

(b) "A coordinated strategy at the field level to define respective United Nations agency roles ... is not evident and, for Governments and other donors, the United Nations agencies are considered separate and independent donors;

(c) "It would ... seem desirable for the United Nations in each country to have a unified strategy consistent with that of Governments or, where the latter is lacking, lead the way. The development of such a unified strategy by the United Nations agencies in-country would help to ensure that each contribution is complementary, gaps are identified and addressed and common approaches are followed for cross-cutting concerns."

50. The HIV epidemic was first identified and described in terms of morbidity and mortality. Even the link between sexuality and the disease was not traced for some years. By then, the framework for discussion had been established and the medical profession given a leading role. This resulted, in 1987 and subsequently, in the General Assembly designating WHO as the lead agency responsible for directing and coordinating the global battle against HIV/AIDS.

51. However, if the causes and impact of the epidemic had been known earlier, the institutional arrangements and programme approaches and priorities would have been established differently and more broadly. This is the task with which tne international community is now struggling, and which requires continuing consultation and negotiation.

52. This task has itself been further affected by initiatives occurring over the same period to restructure the United Nations system, to reorient its operational activities (General Assembly resolutions 44/211 and 47/199) and, within UNDP, to re-evaluate its role and re-emphasize human development. UNDP now has more focused programme objectives and expects more active and effective participation by those receiving UNDP funding.

53. In the fight against HIV, there is an urgent need to mobilize the United Nations system as a whole and to bring its expertise to bear. Inevitably the epidemic will adversely affect labour markets, agricultural production, tourism, civil aviation and industrial development, as well as health, education and social welfare. It will also affect political stability, strategic security, international human rights law and humanitarian affairs. If the United Nations system is to remain relevant, it must have both adequate institutional arrangements and the technical capacity to respond to all these and many more dimensions of the epidemic.

54. UNDP is playing a central role in building and strengthening the entire United Nations system's capacity to respond to the epidemic. Discussions are under way with the United Nations Secretariat, the Security Council and other key bodies in an attempt to create awareness of the issues. The Secretary-General made an important statement to the General Assembly on World AIDS Day 1992. The Regional Bureau for Africa is using Technical Support Services (TSS-1) funds to build wider partnerships within the United Nations system through strengthening the capacity within the Food and Agriculture Organization of the United Nations (FAO) and the International Labour Organisation (ILO) to provide technical cooperation in their areas of expertise.

55. As international and regional financial institutions become more involved in this area, UNDP is initiating a global discussion on the appropriate and effective use of loan financing in response to the epidemic and on the mechanisms and complementary forms of assistance required to maximize the impact of loan financing at the country level.

56. The reconceptualization of the roles, responsibilities and mandates of the operational institutions and agencies of the United Nations system is an important part of the task facing the international community. A clarification of the role of UNDP at the country level will enable the development of appropriate administrative arrangements and institutional roles.

57. The CEO report was preceded by an external review by WHO/GPA and by the report of the Ad Hoc Working Group of the GPA Global Management Committee. The findings of these reports made important contributions to the global discussion and were accepted and built upon by the CEO assessment. They recommend that WHO, along with other agencies, be supported to provide the technical policy support and programme guidance required by ministries of health and to provide

advice on health-related matters in HIV-related activities initiated by other ministries.

58. The reports argue that greater attention be given to other actors, particularly community organizations and NGOs, to strengthen their ability to respond to the epidemic. In these areas, the United Nations system should provide constructive support and leadership, drawing on WHO expertise in health-related policies and practices. As recommended in the CEO assessment, it is critical that support for developing a national capacity for coordination be a primary task for the Resident Coordinator/Resident Representative, both as the country coordinator for the United Nations system and as UNDP programme manager.

59. The CEO assessment also supports the desirability of drawing together all HIV-related assistance of the United Nations system into a unified country strategy. More will be needed than coordination meetings. A transition must be made from the initial focus on non-duplication of United Nations system support for national programmes to shared responsibility. There must be increased understanding of the epidemic's potential impact on personal and professional life. A consensus must be reached on the most effective and sustainable approaches to the epidemic in each country. The human and financial resources and the diversity of experience and expertise within the United Nations system and from other donors must be mobilized in a synergistic way in support of the national response.

60. The continuing rapid spread of the epidemic will impose its own imperative for such changes. However, the international community cannot wait for this to happen. The changes in operational activities demanded for and by the United Nations should be implemented in this area. The United Nations system must take the initiative in finding effective and sustainable responses to this global crisis.

VIII. CONCLUSION

61. The reports called for by the Management Committee of the WHO Global Programme on AIDS and by the UNDP Governing Council, together with the WHO/UNDP Memorandum of Understanding, provide a basis for making the critical and urgent decisions on the administrative arrangements and institutional roles within the United Nations system most appropriate at this stage of the global epidemic. Once established, these arrangements will need to be reviewed as the extent and the nature of the epidemic change over time.

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ANNUAL REPORT OF THE ADMINISTRATOR FOR 1992 AND PROGRAMME-LEVEL ACTIVITIES

Women in development

Report of the Administrator

SUMMARY

The Governing Council, in its decision 90/19 of 22 June 1990, requested the Administrator to report on a triennial basis, beginning in 1993, on progress made from the 1990 baseline in implementing its women-in-development mandate. In its decision 91/8 of 25 June 1991, the Council requested the Administrator to report on measures taken to intensify gender training, inter-agency collaboration, and national capacity-building in women in development (WID).

In updating the 1990 baseline, it was found that about two thirds of the fifth cycle country programmes so far approved have expressed some commitment to WID issues. In the majority of these programmes, WID issues will be selectively addressed in one or two programme priority areas.

In 1992, the Action Committee approved a Special Programme Resources (SPR) programming document for building national capacities in WID. The document was circulated to UNDP field offices to enable them to begin accessing SPR funds in early 1993. Cooperation with other United Nations specialized agencies improved substantially in 1992. A new gender-training strategy and methodology is under preparation with the Food and Agriculture Organization of the United Nations and the Economic Development Institute of the World Bank and a pilot project to promote gender-disaggregated statistics is envisaged with Joint Consultative Group on Policy agencies.

I. INTRODUCTION

1. In its decision 90/19 of 22 June 1990, the Governing Council requested the Administrator to report on a triennial basis, beginning in 1993, on progress made from the 1990 baseline in implementing its women-in-development mandate. In its decision 91/8 of 25 June 1991, the Council requested the Administrator to report on measures taken to intensify and expand gender training, inter-agency collaboration, and national capacity-building in women in development (WID).

2. To update the baseline study conducted in 1990 on the inclusion of WID in fourth-cycle country programmes, a follow-up questionnaire was sent to all field offices and some headquarters units in late 1992. The present report is based on an analysis of the replies received to the questionnaire, a review of all approved country programmes for the fifth cycle, and other information made available by field offices and UNDP headquarters units.

3. The goal of WID strategy continues to be the mainstreaming of women and women's issues in all areas of programme and project activities. In this regard, UNDP has recently adopted a gender approach, which puts emphasis on socially constructed relationships between women and men. This approach addresses inequalities based on gender between women and men, minimizes the marginalization of women and their issues, and is in line with the UNDP focus on participatory approaches to development.

4. As part of this new approach and the increasing emphasis on human-centred development within UNDP, the Division for Women in Development has been renamed the Gender-in-Development Programme (GIDP).

II. FIFTH CYCLE COUNTRY PROGRAMMES (1992-1996)

5. A major part of the ongoing work of GIDP from 1990 has been to promote the mainstreaming of WID issues in the fifth-cycle country programmes. Comments on country programme advisory notes and on draft country programmes are provided by GIDP in the project appraisal committees and in the Action Committee. GIDP also assisted field offices in identifying consultants who can work directly with Resident Representatives and Governments to ensure attention to WID issues in their country programmes.

6. Compared to fourth-cycle programmes, the majority of which did not incorporate any reference to women and women's concerns, fifth-cycle programmes demonstrate substantial progress in WID. So far, about two-thirds of fifth-cycle country programmes have expressed some commitment to WID issues.

7. The degree to which WID issues are included in country programmes varies considerably. In some countries, women's issues will be systematically mainstreamed into all priority areas of the new country programmes, e.g., those for Bangladesh, Chile, Cuba, India, Gambia, Malawi, Nigeria, Papua New Guinea, Poland, Seychelles and Thailand. These country programmes make provision for the gender disaggregation of data, analysis of the situation of women and the

preparation of specific strategies to address women's concerns within priority areas.

8. In the majority of new country programmes, however, WID issues are to be selectively addressed only in one or two priority areas as described below.

9. In the Africa region, country programmes mainly address women's concerns and needs within the priority area of agriculture. The productivity of smallholder agriculture is to be increased through a variety of project interventions, including the provision of improved agricultural techniques, labour-saving technologies, credit and gender-sensitive extension services. In some countries, the development of small and medium-scale enterprises is planned to increase off-farm, income-generating opportunities and employment. In a few countries, the role of women in environmental protection will be addressed.

10. A major initiative begun during the fourth cycle by the Regional Bureau for Africa deserves particular mention in the present report. About $9 million was allocated from the regional programme for five regional projects to enhance women's participation in the areas of agriculture, credit, energy, water and sanitation and the informal sector. The Bureau is exploring ways to disseminate lessons learned from these projects so as to have maximum impact on future policy, programmes and projects in sub-Saharan Africa.

11. In the Asia and Pacific regions, there is increasing focus on improving women's economic status through vocational training, employment and income-generation in agriculture and small cottage industries. A number of country programmes promote entrepreneurial development and access to credit for women.

12. In the Latin American region, most country programmes contain specific provisions for targeting women in poverty under priority areas variously defined as human development, social development or poverty alleviation. There is an increasing use of social compensation funds as policy and financial instruments to fund projects promoting employment, access to credit, development of micro-enterprises, health, education and appropriate technology for women.

13. In the Caribbean country programmes so far approved, WID is addressed in projects dealing with agriculture, tourism, small business development and national machineries with the objectives of improving production and women's incomes, and institutional strengthening.

14. In the Arab States region, the focus is on narrowing the gap in literacy and education. Women's role in food production is also a key consideration in the growing emphasis on food security for the region. The Regional Bureau for Arab States undertook a study in 1992 to assess Arab women's participation in the agricultural sector with a view to mainstreaming WID in regional projects in the area of food security.

15. In the region for Europe and the Commonwealth of Independent States, every effort is being made to incorporate into the country programmes the particular concerns of women in countries in transition. For example, WID will be mainstreamed in all priority areas of the country programme for Poland. In

the programme for Hungary, emphasis is placed on the gender disaggregation of national statistics and the monitoring of gender disparities as economic restructuring proceeds.

16. It should be noted that field offices which mainstreamed women's concerns more effectively sought out WID technical expertise to assist them in designing specific strategies and mechanisms to ensure women's access and participation. A number of these offices also embarked on strengthening national capacities in WID through assisting women's machineries, building gender into macro-economic development plans and policies and conducting action-oriented research in areas of major concern to women. The country programmes for Nigeria, Turkey and the Seychelles provide outstanding examples of the multiple strategies that can be adopted to promote WID. In Nigeria, more than 10 per cent of the indicative planning figure (IPF) has been allocated for a major multi-purpose WID support programme. In Turkey, an innovative WID capacity-building programme has been approved that will institutionalize WID concerns in all government policies, programmes and projects. A pilot initiative has been launched in the Seychelles to increase gender sensitivity and strengthen national capacity for mainstreaming WID issues in key institutions concerned with human resources development.

III. NEW STRATEGIES AND INITIATIVES

17. Important new initiatives undertaken by GIDP in 1992 relate to gender training, national capacity-building for WID, advancement of women in UNDP, and inter-agency collaboration.

18. Gender training continues to be a key strategy for WID mainstreaming. An internal assessment has been conducted of UNDP training workshops held in the field for UNDP staff, government counterparts and United Nations specialized agency staff during 1990 and 1991. This assessment pointed to the need for increasing the coverage of field offices and updating and making the training methodology and materials more relevant.

19. In 1992, GIDP embarked upon a collaborative initiative with the WID Division of FAO and the Economic Development Institute (EDI) of the World Bank to develop a new training strategy and methodology to reach increasing numbers of government, project and United Nations system staff. The long-term goal of this programme is to increase the capacity of developing countries and the United Nations system to formulate programmes and projects that incorporate both gender and social analysis. A key component of this programme is the identification and training of increased number of gender trainers at the national and regional levels. It is hoped that this programme will lead to significantly improved collaboration with other United Nations agencies that can be increasingly associated with the programme. It is envisaged that the plan of the United Nations Development Fund for Women (UNIFEM) to strengthen regional institutions in gender training will constitute a part of the programme in Africa.

20. In approving $8 million in Special Programme Resources (SPR) for WID, the Governing Council has stressed that emphasis should be placed primarily on building national capacities in WID. An SPR programme document was approved by

the Action Committee in late 1992 and was disseminated to the field through the regional bureaux to enable field offices to present proposals for accessing SPR funds.

21. The availability of SPR resources has empowered GIDP in its relationship with field offices. These funds will permit GIDP to provide assistance to national institutions and groups in developing skills that can be drawn upon by governments, development agencies and our own field offices. Priority areas for national capacity-building include: new approaches and techniques to mainstream WID; methodologies for disaggregation of data and statistics by gender; organization of rosters of consultants with sectoral and gender expertise; building a gender constituency through the strengthening and creation of networks; and remedy-oriented research.

22. GIDP is also working together with the Division of Personnel to update the UNDP human resources policy for the advancement of women in UNDP and for the promotion of a gender-sensitive working environment. As part of this policy, efforts are being made to increase the number of women at the Professional and Senior Managerial levels at headquarters and the field. So far, 33 per cent of UNDP Professional staff are women. Women comprise about 10 per cent of senior management (ASG, D-2, D-1). There are 12 women serving as Resident Representatives and 24 women serving as Deputy Resident Representatives.

23. A WID roster of consultants with expertise in gender, technical areas and participatory methodologies has been established within GIDP. Field offices have been requested to develop local WID rosters for their use and for building regional rosters.

24. In 1992, GIDP made a concerted effort to increase its cooperation with other United Nations specialized agencies. As mentioned above, a collaborative gender training is under preparation with FAO and EDI. Within the WID subgroup programme of the Joint Consultative Group on Policy, pilot projects will be undertaken to assist Governments to collect and organize data and statistics on issues of concern to women. The United Nations Statistical Office will provide guidelines and technical support for these projects. In preparation for the Fourth World Conference on Women to be held in China in 1995, GIDP will be collaborating with the United Nations regional commissions and other regional institutions.

25. Other divisions and programmes within the Bureau for Programme, Policy and Evaluation (BPPE) have taken steps to incorporate women and women's issues into their work.

26. Within the Policy Division of BPPE, work has been carried out on (a) mainstreaming gender in the revised guidelines on the programme approach; (b) promoting the mainstreaming of gender into development policy through an action-oriented research project; (c) introducing a system for classifying projects by the six areas of focus, of which WID is one, set forth in Governing Council decision 90/34 of 23 June 1990.

27. Other SPR-funded programmes, including Urban Management, Education for All, Management Development and the Humanitarian Programme have carried out specific studies to identify how women's concerns can be effectively incorporated into their activities.

IV. ADDITIONAL MEASURES TO MAINSTREAM WOMEN-IN-DEVELOPMENT ISSUES

28. Progress has been made in promoting women and women's issues in the fifth cycle country programmes. However, there are additional measures that UNDP can take to increase the impact of its work on women's lives.

29. Resident representatives have been requested to increase emphasis on mainstreaming WID issues in country programmes and projects, to establish a more systematic WID monitoring and reporting system in the field, to establish WID task forces comprised of UNDP, United Nations and government agencies, non-governmental organizations (NGOs) and bilateral donors where appropriate, for better collaborative national WID strategies.

30. UNDP managers will assume increasing responsibility and accountability for integrating WID into UNDP programmes and projects. Regional Bureaux directors and managers of associated funds will be requested to provide an annual overview of progress they have made in (a) the advancement of women in UNDP, and (b) the mainstreaming of WID in UNDP programmes and projects.